

GEORGIA DEPARTMENT OF HUMAN RESOURCES
OFFICE OF ADMINISTRATIVE SERVICES
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

DHR		1. GEORGIA DEPARTMENT OF HUMAN RESOURCES		ARCHIVES AND HISTORY	
Application Date May 2, 1979		Office of the Commissioner Office of Audits 1256 Briarcliff Road, N. E. Atlanta, Georgia 30306		Application Number 77-401-A	
Application Number DHR 79-11 through 79-17				Date Received MAY 7 1979	Date Completed JUL 5 1979
2. Person to Contact David G. Price		Working Title Director, Office of Audits		Telephone Number 894- ³⁷⁰⁰ 5695	
3. Action Requested * (x) Rescind Appl. No. 301 (x) Transfer to Dept of Medical Assistance 74-396 a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. *no longer done b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. *74-395 -*74-398 -*74-399 - 74-416 - <u>77-401</u> c. <input checked="" type="checkbox"/> Amend Application No. <u>54</u> schedules Check One: <input type="checkbox"/> Change; <input checked="" type="checkbox"/> Supercode; <input type="checkbox"/> Void to make changes in					
4. Dates of Series Earliest 1968		5. Records Series Title (followed by title used in office; if different) see attached listing		wording and to lengthen retention period * DHR State-wide application	
Latest to present					
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Department of Human Resources, through the leadership of the Commissioner, is responsible for planning, organizing, directing, coordinating, and controlling the delivery of services to residents of Georgia. Included are: diagnosis and treatment of mental disorders; control of physical health programs; administration of public assistance programs; Federal Food Programs; administration of programs which enable the non-productive members of society (blind, physically and mentally handicapped) to function as productive members of society; administration of programs for the elderly; evaluation of programs of the Department, and suggesting improvements in these programs; and support services. The Office of Audits has the responsibility to determine whether all funds due the Department are properly accounted for and are expended according to the requirements of the law and policies, procedures and regulations applicable thereto. Also, to help Management improve the efficiency, economy, and effectiveness of operations by identifying where improvements are needed.					
7. Records Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: see attached listing Included are:					
The file is arranged :					
8. Monthly Reference Rate How often are records referred to which are: One to six months old _____ ; Seven to twelve months old _____ ; Thirteen to twenty-four months old _____ ; twenty-five months and older _____ ?					
9. Annual Rate of Accumulation or Records Letter-size drawers _____ ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) _____					

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. DHR Procedure IV-H - Administrative Procedures Manual
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | 5 _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>David L. Price</i>	5/1/79	<i>Elizabeth W. Crank</i>	4/30/79
		Elizabeth W. Crank C.R.M. State Records Committee (Signature)	Date
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)	State Auditor/Designee	<i>[Signature]</i>	7-3-79
	Secretary of State/Designee	<i>Carroll Hart</i>	6-29-79
	Attorney General/Designee	<i>[Signature]</i>	7-3-79

Records Retention Schedule

GEORGIA DEPARTMENT OF HUMAN RESOURCES
OFFICE OF THE COMMISSIONER
FINANCIAL MANAGEMENT

Office of Audits
Operational Audits Section

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
77-401-A	OPERATIONAL AUDIT FILES - Documents relating to conducting operational audits, other examinations of DHR units, special projects and investigations. Included are: questionnaires regarding personnel, office layout, forms, budget and accounting, equipment maintenance, buildings and grounds, purchasing, asset inventory, and correspondence. Also included are evaluation of findings (usually in narrative form) and recommendations for improvement in the various areas of audited operations. The file is arranged: alphabetically by name of organization (Office/ Section/ Unit); thereunder, by activity or project.	<p>Cut off file as follows:</p> <p><u>Office of Audits</u> <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all pertinent papers for a particular audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy.</p> <p><u>DHR Offices/ Divisions/</u> <u>Sections/ Units</u> <u>(Reference Copy of Audit)</u></p> <p>Upon determination that all audit questions have been resolved, place all reference papers for audit in the inactive file; cut off inactive file at end of each fiscal year; hold 2 years; then destroy.</p> <p>Earlier destruction of audit reference papers is authorized.</p>

APPROVED: 7/5/79

OPERATIONAL AUDIT SECTIONTO AMEND

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
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APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date 9/2/77	1. Agency Address Georgia Department of Human Resources Office of Evaluation & Research Operations Research 1256 Briarcliff Road, N. E. Atlanta, Georgia 30306	Application Number 77-401	
Application Number DHR-161		Date Received OCT 12 1977	Date Completed OCT 27 1977
2. Person to Contact Tom Moody		Working Title Chief, Operations Research	Telephone Number 894-3907
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest 1972 Latest present		5. Records Series Title (followed by title used in office; if different) Operational Audit Files	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Office of Evaluation and Research is responsible for providing the management with personnel who can objectively evaluate and analyze the effectiveness of the Department's programs. Operations Research has the responsibility of determining and implementing standards and procedures for systematic examination and improvement of the Department's management control system.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: <u>A</u> operational audits and other examinations of DHR units. <u>conducting</u> Included are: questionnaires relating to office operations; evaluations and recommendations usually in narrative format; written statements about adequacy, efficiency, and effectiveness taken from departmental personnel about departmental operations, and related materials. File is arranged: alphabetically by name of audit or examination.			
8. Monthly Reference Rate How often are records referred to which are: One to six months old <u>5</u> ; Seven to twelve months old <u>2</u> ; Thirteen to twenty-four months old <u>2</u> ; twenty-five months and older <u>1</u> ?			
9. Annual Rate of Accumulation of Records Letter-size drawers <u>2</u> Est.; Legal-size drawers _____; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. DHR Administrative Procedure Manual Part IV H
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
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Attach copy or excerpt of laws or regulations. Explain administrative need.

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This agency recommends that the file series be cut off at the end of each:

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- ☒ Hold in the current files area _____ month(s) 2 year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
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- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>[Signature]</i>	9-25-77	<i>[Signature]</i>	10-7-77
State Records Committee (Signature) _____ Date _____			
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)	State Auditor/Designee	<i>[Signature]</i>	10-25-77
	Secretary of State/Designee	<i>Carroll Hart</i>	10-21-77
	Attorney General/Designee	<i>[Signature]</i>	10-26-77